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ABSTRACT

This handbook was prepared to assist directors in administering their EPDA projects in the following areas: TTT, basic studies, vocational and technical education, special education, early childhood, school personnel utilization, educational administration, media specialists, and pupil personnel services. The subjects covered include 1) publicity; 2) applications; 3) the selection of participants and notification to successful and unsuccessful applicants; 4) the organization of the program including orientation, examinations, schedule, rules governing participation, and instructional materials; 5) grant negotiation procedures; 6) general administrative matters; and 7) budget adjustments. Three appendixes include copies of the budget and financial report and director's report; application for admission, confidential evaluation form, and application for a stipend; and a list of OE fiscal and program project officers. (MBM)

ED053102

January 15, 1970

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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HANDBOOK FOR DIRECTORS

EDUCATIONAL PERSONNEL DEVELOPMENT PROGRAMS 1970-71

Parts C, D, and F

TTT - Trainers of Teacher Trainers

Career Opportunities

Basic Studies

Vocational and Technical Education

Special Education

Early Childhood

School Personnel Utilization

Educational Administration

Media Specialists

Pupil Personnel Services

BUREAU OF EDUCATIONAL PERSONNEL DEVELOPMENT

Division of College Programs

Division of School Programs

OEG-3-P005217

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Introduction

This Handbook was prepared as a guide to assist directors in administering their EPDA projects. It is a companion to and supplements but in no way supplants the publication, Financial Provisions and Grant Terms and Conditions, Fiscal Year 1970, Parts C, D and F, EPDA.

This year projects will be conducted in schools, as well as on campus, during the summer and during the academic year. Some projects will recruit nationally; others on a local or regional basis. All types of personnel with widely varying backgrounds will receive training. Thus all of the information within these pages will not be equally applicable to all of the EPDA training activities scheduled for 1970-71. Much of it will be relevant to all grantees; some of it essential.

PUBLICITY

EPDA training projects for 1970-71 -- summer, part time, and academic year -- will be given some national publicity by the U.S. Office of Education. Major responsibility for publicity and recruiting remains with the director.

After receiving the official notification that a proposal for an Education Professions Development Grant has been approved, most directors should prepare local and regional news releases, public service radio and TV spots and similar announcements about their programs defining their purpose and clientele. Appropriate publicity should be released to State, regional, or other professional journals as soon as possible, since these publications often require at least two months' leadtime.

Brochure

Each director of a project without preselected participants is required to prepare a brochure describing his program and its purpose for distribution to schools, superintendents, and other appropriate people, places, agencies, or institutions, and interested individuals. (For Vocational Education projects under Part F, Section 553, this type of brochure may be more appropriately done with each cooperative arrangement.) Displayed prominently in the brochure must be the following paragraph:

> Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." Therefore EPDA programs must be operated in compliance with this law.

Each Project Director must mail a draft of his brochure to the appropriate Office of Education Project Officer (see Appendix C) for review prior to publication. Copy, with comments, will be returned within one week of its receipt. Four copies of the final brochure must be forwarded to the Project Officer.

The Office of Education does not provide any particular specifications concerning size, type of reproduction, decoration, cost, or number of copies. OE does however, ask that the following items be included:

1. Name of host institution or agency, title of program, and identification with the Office of Education, e.g., ...in cooperation with the Bureau of Educational Personnel Development, Office of Education, under the Education Professions Development Act.

2. Deadline date for submitting application materials.

3. Name, title, and address of director, from whom application materials and specific information may be obtained.

4. An explanation of the program, including the focus or subject area of the program, descriptions of program components, staff and schedule.

5. Number of weeks the program will last; the opening and closing dates; and whether short-term or academic year, or part-time.

6. Criteria for admission, including academic preparation required of applicants, types of participants for whom the program is designed, and whether or not preference will be given to applicants from specific geographic areas.

7. Relevant experience required of participants.

8. Statement of whether or not academic credit is offered. If credit is offered, the conditions and amount should be stated. If a degree program is offered, the conditions and prerequisites should be stated.

9. Grade level and any other characteristics of student population to be served.

10. Available academic and library facilities and materials of special relevance to the program.

11. What letters of recommendation will be required from applicants.

12. A statement concerning schedule of payments of stipends and dependency allowances, if applicable.

13. Arrangements for housing and meals, and their costs, if applicable.

14. Available recreational and other non-academic facilities, if applicable.

15. Notice that there is no provision for textbook allowances or for participant travel to and from their homes to the project site.

Other Publicity

Directors must take an active role in reaching as many potential participants as possible. Experience demonstrates that a vigorous campaign must be conducted to insure that all possible eligible participants are informed of programs. No one method of publicity will suffice. Visits to local schools and to educational agencies are recommended as well as use of educational television for direct access to personnel both in and out of the classroom. Directors are urged to use the regular channels of their institutions or agencies as much as possible. EPDA funds may not be used for paid advertisements in newspapers or other news media.

All announcements and publicity materials, including the brochure, should be sent to State departments of education, Regional OE offices and, as appropriate, to superintendents and principals of public and private nonprofit schools; interested administrators of institutions of higher education; directors of vocational education; editors of local newspapers, magazines, and educational journals; related social agencies; community organizations and groups.

After the final selection of participants and their acceptance, hometown news releases should be prepared.

APPLICATIONS

Inquiries

Directors will receive many requests for information about and applications for their programs. Every person who inquires about the program, whether by mail or telephone, should receive an appropriate reply, and a good brochure provides an easy means by which the director can respond. It also serves as a prescreening device, since it should enable those who receive it to determine whether or not they are eligible to participate and whether the program will meet their needs. Accordingly, application forms will generally be sent only in answer to specific requests from individuals who earlier received the brochures. However, a complete package should be sent in response to inquiries which arrive close to the application deadline.

Application Forms

As early as possible, directors will be sent an adequate supply of required forms and instructions. (See Appendix B) Each director may of course, add his own forms to the packet. But experience indicates that in most cases those furnished by the Office provide adequate information.

Official Transcripts

To ease the financial burden on applicants, many of whom may apply to more than one project, it is suggested that directors accept copies of transcripts for purposes of preliminary evaluation. Certified transcripts, if required, could then be requested at a later date from persons tentatively selected as participants.

Application Fees

If formal admission to an institution of higher education is a prerequisite for participation, and if a fee is charged, it should be made clear to applicants that they are NOT required to pay such fees to participate in the program. If required of all students attending the college or university, application fees may be included as a direct cost of the program, and charged to the grant.

Photographs

Photographs may not be required of applicants. If customarily included as a part of institutional records, they may be requested only after participants have been selected and notified of their acceptance.

Eligibility

Responsibility is delegated to participating institutions and agencies, or consortia of institutions and agencies, to insure the eligibility of applicants selected for participation in a training project. All conditions of eligibility should be explicitly stated in the brochure of the institution or agency sponsoring the program.

SELECTION OF PARTICIPANTS

Previous Participation

Ordinarily, individuals who have previously participated in EPDA, NDEA or Arts and Humanities institutes are eligible to apply only to projects in fields other than those they previously attended. It is up to the director, however, to assess the facts and to decide whether or not to accept the applicant. The Office encourages new participants in preference to former ones.

Evidence of Employment

In most instances, each applicant must submit evidence of employment in the education profession for the academic year immediately following the training activity. Ordinarily, the Confidential Evaluation Form will provide sufficient information.

Selection of Participants

All applications should be reviewed by a selection committee composed of the project staff and other appropriate members. For a Career Opportunities Program the committee must also include representatives of the institution(s) of higher education as well as the community to be served by the project. Eligibility requirements for the projects, as stated in national and local publicity material, must be observed in the selection of participants. Since criteria for participant eligibility are established for individual projects, directors should not ask the Office to make rulings or determinations on individual candidates, except in rare instances where a legal interpretation may be required.

The director may use his own discretion as to the number of alternates to be selected. Experience has shown, however, that because of dropouts and of nonacceptances, as a result of multiple applications, it is usually desirable to choose at least two alternates for every three candidates selected for full-time training activities. The selection committee should also rank the alternates so that when a replacement is needed, the director can make the selection simply and quickly, without further committee consultation.

Deadlines

The following deadlines should be observed by directors of all projects with the possible exception of those to be conducted part-time during the 1970-71 academic year:

Completed applications to the project to be postmarked no later than April 15, 1970.

Accepted applicants and alternates to be notified by letters postmarked by April 27, 1970.

Letters of acceptance from participants and alternates to be postmarked no later than May 5, 1970.

Notification to Successful Applicants

The director's letters to successful applicants should be congratulatory in tone and include a statement similar to the following;

> If you plan to accept appointment as a participant in this program a letter of acceptance and the enclosed Application for Stipend Form (OE 7213) (if applicable) must be postmarked no later than May 5, 1970.
>
> If these are not received, your name will be dropped as an enrollee on May 8, 1970, and a replacement will be selected from the alternate candidates.

(Both dates will be different for some part-time academic year projects.)

Letters to Ineligible Applicants

When applications are received from individuals who are clearly ineligible for admission, the applicants should be advised of this fact at the earliest opportunity to give them time to apply elsewhere.

Letters to Unsuccessful Applicants

Letters to unsuccessful applicants should be sent at the same time as those to participants and alternates. Post cards should not be used. If unsuccessful applicants are reminded of such mitigating factors as intense competition, they will not be discouraged from trying again. Letters should be polite and tactful; avoid reference to "standards," and the use of words such as "rejected" or "turned down."

Advance Information for Participants in Programs at Institutions of Higher Education

The director should send information about the campus and the community to each participant well before the program begins. He should provide full information as appropriate, on:

Stipend payments. Dates and methods of payment. If delays in processing stipend checks are anticipated, participants should be advised to bring sufficient funds for the purchase of textbooks and supplies, and for board and room for a specified period.

Housing provisions. When and how board and room costs must be paid; availability of quarters for married couples, and for children. If on-campus residence is not required, the availability and costs of off-campus accommodations should be noted.

Required texts and other materials. Their cost, and where they may be purchased.

Other items of information which will help make a program successful:

- An explanation of the purpose of the program and an outline of its major components.
- A list of books that should be read before arrival.
- A brief annotated bibliography.
- A list of recreation facilities.

ORGANIZATION OF THE PROGRAM

The following sections are particularly directed to full-time projects; in many instances however, the comments are also applicable to part-time academic year projects.

Preprogram Orientation for Participants

Often, the success of a program depends upon adequate orientation. At the initial session the conceptual framework of the program, its purpose and organization might be discussed. During the first two weeks or so, participants should be given ample opportunity to ask questions about various aspects of the program.

Examinations

If the director feels that diagnostic tests would be helpful and contribute to the effectiveness of the project, they probably should be given early in the project. The use and frequency of examinations, as well as the method of assigning grades or marks, depends upon the usual policies of the grantee.

Schedule

Organization of the schedule is of prime importance. The ratio of hours to be spent in class, practicum or other training component to the hours available for unstructured activities will depend upon the type of project. Care should be taken to avoid too heavy a schedule and to leave sufficient time for study, informal discussion and recreation.

Informal Program

A group spirit is vital to the project's success and contributes immeasurably to the morale of participants. Participants should be able to meet informally with one another and with staff members -- in group discussions, at lunch, during coffee breaks, on field trips, and elsewhere.

Since social activities contribute to a project's success, participants may wish to organize a social committee. However, no Federal funds may be used to pay for entertainment, refreshments, dinners, or other social activities, nor may participants be required to contribute to the cost of such events.

Another means of developing group spirit among participants is to have certain areas in the college or school buildings and/or residence halls specifically set aside for their activities, meetings, and discussions. A reading room for participants should also be available; it might well include selected curriculum materials.

Rules Governing Participation

Outside Work

Most projects--other than those conducted part-time during the academic year--require full-time involvement. Accordingly, participants in such projects may not ordinarily undertake any other work during the period they are enrolled. (See item 4, page 13 for exceptions.) This does not include internships and work experience under Part F and COP.

Compliance with Institutional or Agency Regulations

Participants who fail to comply with the regulations of the grantee may, at the discretion of the director, be required to withdraw from a project. The Office of Education should be informed of any such action immediately, and documentation covering the withdrawal should be included in the project records.

Instructional Materials

At the close of the project, instructional materials purchased with program funds should be placed in the host institution's library or with due care, may be kept on hand for future projects. In special circumstances which have received Project Officer approval, duplicated materials which have been purchased with program funds, and which are of value to participants but of little anticipated value to regular or future students at the host institution, may be distributed to participants for use in implementing ideas, concepts, and methods encountered during the project.

EVALUATION

Evaluation may be defined as a systematic process for collecting and using information for decision making. It should provide a basis for planning BEPD programs (e.g., Early Childhood, TTT, etc.), monitoring their progress, and assessing their outcomes. Accordingly, evaluation should facilitate the management and improve the quality of training programs.

The extent of evaluation will vary from one BEPD project to another. It will range from extensive, formal evaluation conducted under contract by an outside agency to less formal evaluation performed by the project staff itself. The evaluator and the program decision maker have separate but complementary roles, although for a limited evaluation both roles may be taken by the Project Director. Whatever the extent of the evaluation, the evaluator and the Project Director should operate as a team to generate information upon which decisions can be based.

In addition to serving the needs of individual projects, project information will contribute to the overall management and assessment of the several BEPD programs. Such information will be collected through various means--project and participant data forms, site visits, interim and final reports, as well as others.

To effectively meet the evaluation needs of individual training projects and the BEPD programs, the Plan of Operation ideally should delineate specific objectives and criteria against which actual performance can be assessed. These criteria should be applied at various stages of the project to determine whether it is meeting its specifications for (1) installation, (2) operation, and (3) outcomes.

Although confronted this year by time and fiscal limitations, grantees will be encouraged to develop, with the assistance of the appropriate OE Project Officer, a revised Plan of Operation that lends itself to

effective evaluation--even though of a modest nature. The type and extent of evaluation will vary from program to program and from project to project within programs.

A comprehensive Plan should, insofar as possible, include the following for <u>each</u> objective:

(1) Detailed description(s) of the training process(es) to be used to achieve it;

(2) Statements, in measurable terms, of the specific behaviors or conditions which demonstrate successful performance;

(3) Criteria for determining successful performance.

In addition, the Plan of Operation should include a plan for monitoring the installation and operation of the training processes (item 1, above.) It should provide for a periodic assessment of the following:

(1) The extent to which project components have been installed and are operational;

(2) The effectiveness of the training processes in accomplishing the project objectives;

(3) The adequacy of the original Plan of Operation.

Finally, the Plan of Operation should specify how each of the objectives will be measured.

* * * * *

Each Project Director should keep in close contact with his Project Officer throughout the planning and operation of his project. Interim findings that call for changes in the original plan should be discussed with and approved by the OE Project Officer and by the Grants Officer if the changes alter the objectives of the project.

GRANT NEGOTIATION PROCEDURES

This section includes an explanation of the award schedule and the negotiation of the proposed project and budget into a mutually acceptable Plan of Operation which then becomes the basis for the final Grant Award Document.

Each project proposal is evaluated and rated by professional consultants from outside the Office of Education. On the basis of their recommendations, legislative considerations and Bureau priorities, a list of projects the Office plans to support, subject to mutually acceptable programmatic and budget negotiations, is announced. Short-term project development grants may be made at this time, if necessary, prior to negotiation of final Plans of Operation which will ultimately be incorporated in grants for the operating phase of the projects.

While the original proposal and budget estimate are tentative and subject to revision, the negotiated Plan of Operation embodies completed programmatic and financial plans for implementing the approved project. Once mutually agreed upon, the final Plan of Operation is subject to programmatic change only with the prior concurrence of the appropriate OE Project Officer. Should any such change alter the objectives of the program or result in an increase in the amount of the Grant, the Grant Award Document must be amended by the Grants Officer. Although negotiations are usually conducted by telephone, the Grantee is cautioned that verbal agreements are not binding on either party until confirmed in writing and made a part of the Grant Award Document. The Grantee is further cautioned not to expend funds prior to the effective date of the Grant Award, or subsequent amendments to it.

Set forth below is the negotiation and award schedule for projects to be carried out during summer 1970, the academic year 1970-71, and in some cases, the summer of 1971. The schedule is followed by a discussion of the process for converting a proposal into an approved Plan of Operation. This Handbook is largely concerned with matters of a programmatic nature. Budget and fiscal policies are discussed in detail in the publication, Financial Provisions and Grant Terms and Conditions, Fiscal Year 1970, Parts C, D and F, EPDA, and in the COP Manual.

Negotiation and Award Schedule

Short-term program development grants will be used when it is essential that authority to cover necessary expenses be provided immediately after announcement of tentatively approved projects. Normally, a single Grant Award Document will be issued after completion of negotiations.

April 30, 1970

This is the target date for completion of all negotiations and submission of all resultant Plans of Operation (including the final budget) to the Office of Education. Each Project Director must assure that five (5) copies of his Plan of Operation (three (3) copies of which must bear fully executed face sheets) are dispatched to USOE immediately following the close of negotiations.

May 29, 1970

By this date, all grants will have been issued to each institution or agency with which project negotiations have successfully been completed and from which an acceptable Plan of Operation has been received by the Office.

June 17, 1970

Not later than this date, each Project Director must advise the Office of Education, in writing, of the total number of dependents claimed by the prospective project participants, if applicable. (See page 15 of Grant Terms and Conditions for suggested format but note that the date the report is due has been delayed six weeks.)

Negotiation of the Plan of Operation and Budget

Negotiations with each institution or agency concerned will begin promptly after the announcement of tentatively approved awards, and will open with a telephone call or letter from the Office of Education. The objective will be mutually agreeable resolution of all programmatic and budgetary questions stemming from evaluation and analysis of the original project proposal. Conversion of the original proposal to a formal Plan of Operation will not necessarily require a complete revision and resubmission. Mutually agreed upon programmatic and budget changes, and evaluation criteria, may be submitted whenever possible as addenda.

Budgetary questions necessarily will be more numerous and detailed in connection with training projects to be supported through reimbursement of actual itemized costs, as compared with fellowship projects for which operational fund support is fixed by statute or regulation.

It is essential that the Project Director and his institutional or agency Fiscal Officer function as a team through the negotiation period, and that all other appropriate administrative officials be kept currently informed of the course of negotiations related to budget and fiscal matters. Through their detailed knowledge of institutional or agency fiscal and administrative policy and procedure, these officials can -- and should -- make a major contribution to expeditious formulation of a final Grant Award Document.

GENERAL ADMINISTRATIVE MATTERS

Responsibility and accountability for all grant funds rests with the grantee's Fiscal Officer, who must assure that all expenditures of such funds accord fully with the terms and conditions of the grant, including all fiscal policies and procedures incorporated in the grant by reference. (Projects funded under Part F, Section 553, must assure that EPDA funds supplement and in no case supplant funds which, in the absence of such Federal funds, would be otherwise available.)

These following provisions are applicable to participants in all EPDA projects:

1. Fellows and other project participants shall not be charged tuition or other fees in lieu of tuition.

2. There is no allowance for participant travel to and from his home and the project site.

3. A participant may receive the stipend and dependency allowance only while he is maintaining satisfactory academic proficiency and is devoting to the project the amount of time which constitutes full participation therein.

4. A participant in a full-time project may not engage in gainful employment other than part-time employment in teaching or research directly related to the project's purposes, and then only after such part-time endeavor has been approved, in writing and in advance, by the Project Director and by the Office.

Federal Income Tax

A participant whose status in a training project is that of a degree candidate may exclude the full amount of stipend and dependency allowances received from his gross taxable income for Federal personal income tax purposes. A non-degree candidate may exclude a maximum of $300 per month and must include in his gross taxable income the amount by which the total stipend and dependency allowances received exceeds the total allowable exclusion.

The above-stated policy is set forth in Revenue Ruling No. 58-498, published in Internal Revenue Bulletin No. 1958-41, dated October 13, 1958. This Bulletin is on file in all Internal Revenue Service District Offices and local field offices.

This Federal tax information may be made available to project participants, but with the caveat that it in no way relieves them of the responsibility of seeking a definitive interpretation of their own tax liability from their District Internal Revenue Offices.

Eligibility for Stipend

The Project Director is responsible for determining the eligibility of each participant to receive a stipend and to determine the appropriate amount thereof in accordance with the criteria and instructions set forth in this Handbook, the Financial Provisions and Grant Terms and Conditions and/or (COP Manual), and in the Application for Stipend forms furnished by this Office.

Veterans Eligibility for Stipends

Veterans participating in EPDA training projects are entitled to stipend allowances in addition to GI educational benefits.

Change in Number of Dependents

The Project Director must inform all participants of their responsibility for notifying him promptly of all increases and decreases in their respective numbers of claimable dependents. Upon receipt of each such notice, the Project Director must assure that the reporting participant thereupon executes a revised Application for Stipend form, and that the revised application is made a part of the permanent records of the project. In the case of a claimed increase in number of dependents, a photostatic copy of the marriage or birth certificate, a notarized sworn statement by the claimant, or other acceptable documentary evidence must be submitted to the Project Director to be maintained in the record to justify expenditure of stipend funds.

Adjustment in the amount of allowance payable to a participant whose number of dependents increases or decreases shall be effective as of the date when the change occurs, and the amount of the adjustment shall be reflected in the next regularly scheduled payment to the participant concerned.

Adjustment of Stipend

Withdrawal of Participant

A participant who withdraws prior to the end of the project in which he is enrolled is entitled only to that portion of the stipend and dependency allowance, prorated on a monthly, weekly or daily basis, payable up to and including the effective date of withdrawal. The grantee's Fiscal Officer and the Project Director shall prorate and determine the amount to be paid in each such case.

If a withdrawing participant has received advance payment of stipend and dependency allowance for any period subsequent to the effective date of withdrawal, he must refund to the grantee the amount paid for such subsequent period, computed as of the day following the effective date of withdrawal. It is the responsibility of the Project Director and the grantee's Fiscal Officer to determine the amount of the refund and to assure that repayment is received from the withdrawing participant.

Death of Participant

If a participant dies while enrolled in a project, his estate shall not be liable for repayment of any portion of any stipend or dependency allowance paid to him prior to his death. On the other hand, there shall be paid to the decedent's estate the full amount of stipend and dependency allowance accrued and otherwise payable to the decedent for his project participation up to and including the day of his death.

Late Arrival

If an individual arrives after the announced beginning date of a project, he shall receive no stipend and dependency allowance for the project days prior to the day on which his participation begins.

Excused Absence

No deduction from stipend and dependency allowance shall be made for any period during which an individual temporarily is prevented from participating in a project by reason of illness, family emergency, or other cause deemed sufficient by the Project Director.

Scheduling of Stipend Payments

Payments to participants will be made by the grantee, not by the Office of Education. The Project Director is responsible for assuring that advance announcement is made to the participants of the number of installments and the schedule for payment of stipends and dependency allowances.

It is recommended that payments be made biweekly for short-term projects and monthly for long-term projects, with the first payment being made on the opening day thereof unless the grantee's policy requires otherwise. Large advance payments of stipends and dependency allowances are not recommended.

ADJUSTMENTS

Budget Adjustments by Grantee

Funds provided to defray direct costs -- to the extent that it is determined that they clearly are not needed for that purpose -- may be used, as required, to supplement the funds provided for payment of dependency allowances, if allowable.

If funds provided to defray direct costs under a given line item of the budget prove to be in excess of need, the surplus may be used to defray allowable direct costs under other budgeted line items, provided, total direct costs expenditures do not exceed the estimated total as set forth in the final negotiated budget.

In the case of projects supported under both Parts C and D of the Act, Part C money may not be transferred to the Part D budget and vice versa.

Adjustments Requiring Prior OE Approval

Funds provided to defray the costs of stipends and dependency allowances may be used for other project purposes only with the prior written approval of the OE Grants Officer. New budget line items may not be added without prior approval of the Grants Officer.

A replacement for the Project Director (or other key personnel) originally proposed must receive prior approval from the Office (see item 11, Appendix A, page 19 of Grant Terms and Conditions). The request for a replacement must be made in writing with a full and complete statement of the reasons for the change and a vita of the proposed new director. It is understood that a change may be made only for sufficient cause and that the qualifications of the newly appointed director equal those of the former director.

Supplemental Stipend Certification

If, as the result of an increase in the number of dependents for whom allowances were initially claimed, additional funds are required, the Supplemental Stipend Certification (Form OE-7217) will be submitted to the appropriate OE Grants Management Specialist concerned. A supply of these forms will be forwarded to each Project Director.

For short-term training projects, it is recommended that the certification be submitted at the mid-point of the project period. This will allow sufficient time for the Project Director to determine to what extent the additional dependency allowance costs can be defrayed by use of funds from unexpended line item costs.

In the case of long-term projects, the certification may be submitted at such time as the Project Director and the grantee's Fiscal Officer deem appropriate.

Upon receipt and acceptance of a Supplemental Stipend Certification, payment of the additional dependency allowances will be authorized automatically by this Office.

APPENDIX A

BUDGET AND FINANCIAL REPORT

Fiscal reports must be submitted according to a schedule accompanying the operational grant award. Appropriate forms (OE Form 7203) will be supplied at a later date (a copy of the form follows).

Itemized data must be available upon request to support claimed expenditures. These data will include listings of the individual costs which comprise the total claimed expenditure for each line item of the report.

Grantees are not to refund unexpended project funds at the time the budget and financial reports are submitted. Following receipt and acceptance of each report, this Office will issue instructions regarding the return of unexpended balances.

DIRECTOR'S REPORT

A single, final report will be required for all short-term training projects. Directors of training activities of longer duration will be required to submit interim reports. Details will be provided at a later date.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202
EDUCATIONAL PERSONNEL DEVELOPMENT PROGRAMS

BUDGET AND FINANCIAL REPORT

FORM APPROVED
BUDGET BUREAU NO. 51-R0394

GRANT/CONTRACT NUMBER

TITLE OF PROGRAM REPORTED

NAME AND ADDRESS OF INSTITUTION *(City, State, ZIP Code)*

	A. DIRECT COST-ADMINISTRATIVE & INSTRUCTIONAL STAFF SALARIES		BUDGETED	EXPENDED	BALANCE
1	DIRECTOR				
2	SECRETARIAL AND CLERICAL				
3	OTHER ADMINISTRATIVE SUPPORTING STAFF				
4	FULL-TIME INSTRUCTORS	NO.			
5	PART-TIME INSTRUCTORS	NO.			
6	LABORATORY ASSISTANTS	NO.			
7	INSTRUCTIONAL ASSISTANTS	NO.			
8	LECTURERS AND/OR CONSULTANTS	NO.			
9	*SUBTOTAL FOR SALARIES (Sum of Lines 1 through 8)*				
	B. OTHER DIRECT COSTS				
10	EMPLOYEE SERVICES AND BENEFITS				
11	TRAVEL				
12	OFFICE SUPPLIES, DUPLICATING, PUBLICITY, COMMUNICATIONS				
13	INSTRUCTIONAL SUPPLIES, ETC.				
14	REQUIRED FEES				
15	EQUIPMENT RENTAL AND/OR DEPRECIATION *(if applicable)*				
16	*SUBTOTAL FOR OTHER DIRECT COSTS (Sum of Lines 10 thru 15)*				
17	TOTAL DIRECT COSTS *(Sum of Lines 9 and 16)*				
	C. STIPEND SUPPORT *(Federal participants)*				
18	PARTICIPANTS PAID	NO.			
19	DEPENDENTS PAID	NO.			
20	TOTAL STIPEND SUPPORT *(Sum of Lines 18 and 19)*				
21	TOTAL DIRECT AND STIPEND COSTS *(Sum of Lines 17 and 20)*				
22	INDIRECT COSTS *(8 percent of Line 21)*				
23	**GRAND TOTAL** *(Sum of Lines 21 and 22)*				

TYPED NAME OF DIRECTOR	SIGNATURE OF DIRECTOR	DATE SIGNED
TYPED NAME AND TITLE OF FINANCIAL OFFICER	SIGNATURE OF FINANCIAL OFFICER	DATE SIGNED

OE FORM 7203 5/68 REPLACES OE FORM 4011, WHICH IS OBSOLETE.

APPENDIX B

APPLICANT FORMS

Most directors will receive three different forms--the Application for Admission (OE 7211), Confidential Evaluation (OE 7212) (for use in obtaining references), and Application for a Stipend (OE 7213). The first two may be mailed to all who wish to submit an application, but the Stipend Form should be sent only to selected participants and alternates.

Certain types of projects do not require certain forms. For instance: "Planning projects," which will not train participants during the summer of 1970 or academic year 1970-71, will not require any of these forms.

Projects which are designed to choose their participants by some method other than by soliciting applications, may not need to use the OE 7211 form and/or the OE 7212 form.

Projects which do not pay stipends, or which do not pay dependency allowances, will not need the OE 7213 form.

Initial supply of forms: Normally, a Project Director will be sent, under separate cover, 300 copies each of the Application for Admission (OE 7211) and the Confidential Evaluation (OE 7212), and 75 copies of the Application for a Stipend (OE 7213). These forms can be expected to arrive about two weeks after the Grant Award is issued.

Additional forms may be ordered from the U.S. Office of Education. (Or a Project Director may be able to obtain needed additional forms from another EPDA project at the same location.) In ordering by mail be sure to specify the name, OE form number and quantity needed. If necessary, you may order by phone from an OE Project Officer whose address and telephone number may be found in Appendix C.

Use of forms: Each Project Director will assemble an application packet which will ordinarily include one copy each of OE 7211 and OE 7212, plus such additional materials as the Project Director may develop locally. The other form, OE 7213, will be provided only to applicants who have been selected as participants or alternates.

OE 7211

The Application for Admission (OE 7211) is the basic document used in making an application. This form contains the basic items most frequently required by a Project Director, regardless of the subject matter of his project. The completed Application for Admission forms will be used by the Director and his Selection Committee, and will be retained by the project as a part of its files.

OE 7212

The Confidential Evaluation form (OE 7212) is to be used in obtaining supervisors' recommendations for applicants. It may be sent out as a part of the application packet -- or at a later stage if the Director decides to perform an initial screening of applications first.

Ordinarily, the Project Director will put his name and mailing address in the upper right-hand block of the form (usually by rubber stamp), and will send the form to the applicant. The applicant will then complete the upper left-hand portion of the form and give it to his principal or supervisor for completing the evaluation. (The Project Director should attach to the OE 7212 form a self-addressed envelope for use by the principal or supervisor in returning the form. Not only is this an important courtesy that should be extended to the evaluators, it is also the best guarantee of having the Confidential Evaluation forms returned promptly.) Like the OE 7211 form, the OE 7212 form should be retained by the project as a part of its files.

OE 7213

The Application for a Stipend (OE 7213) is the official application for a stipend and is to be used to determine the eligibility for dependency allowances. The definition of a dependent differs somewhat from that used last year.

"For the purposes of dependency allowances, a 'dependent' means an individual who receives more than one-half of his or her support from the participant for the calendar year in which the training program begins, and who is (a) the spouse of the participant, or (b) one who could be claimed by the participant as a dependent for Federal income tax purposes."

This definition also supersedes that contained in Section V (pp. 13-14) of Education Professions Development Act, Financial Provisions and Grant Terms and Conditions, Fiscal Year 1970, Parts C, D, and F, EPDA. (COP project directors do not have the Financial Provisions booklet; there are no dependency allowances in COP projects and thus, the definition of a dependent is not applicable.)

Project Directors are referred to page 4 of the "1968 (or 1969) Form 1040 Instructions for preparing your Federal Income Tax Return" for further information on who may be claimed as dependents for income tax purposes -- and thus for OE 7213 purposes.

The Project Director shall examine the Application for a Stipend submitted by each selectee to ensure that he has claimed dependents in accordance with the instructions contained on the form, and shall determine the amount of stipend to be paid at the specified rates. The conditions covering stipend support and dependency allowances are covered in "Stipend Support," pp. 10-13, in the "EPDA Financial Provisions and Grant Terms and Conditions, FY 1970."

In the case of any change in the number of dependents for a participant, after his selection, the Project Director must require that a new Application for a Stipend be completed and must make the necessary adjustment in the stipend payment. The completed OE 7213 forms are to be retained as a part of the project files.

A Special Purpose Form

The OE 7211-1 form, "Application for Admission - Modern Foreign Languages Supplement," is a special purpose form for assessing the language qualifications and foreign country experience of applicants to projects in the area of modern foreign languages. The form serves to supplement the OE 7211 Application for Admission. A supply of the form will be made available to directors of projects for which the form is applicable.

Participant Data Form

Shortly before each project begins, directors will receive a supply of Participant Data forms with instructions for their use. Through this form, the Bureau collects information on the background of EPDA participants for use in program evaluation. Participants should complete these forms early in the training period--perhaps during the initial orientation meeting.

Samples of Forms OE 7211, 7212 and 7213 follow.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

APPLICATION FOR ADMISSION

(To Programs supported by Parts C, D, and F of The Education Professions Development Act)

BUDGET BUREAU NO

APPROVAL EXPIRES:

INSTRUCTIONS: Type or print, in ink, your answers, and return this form, together with any other forms supplied by the institution or agency to which you apply, to the Program Director, NOT to U.S. Office of Education.

1. NAME OF INSTITUTION OR AGENCY TO WHICH YOU ARE APPLYING

2. NAME OF PROJECT

3. YOUR NAME *(First, Middle initial, Last)*

4. HOME ADDRESS *(Number, Street, City, State, ZIP Code)*

5. SEX ☐ MALE ☐ FEMALE

6. AGE ____ YRS.

7. U.S. CITIZEN ☐ YES ☐ NO

9A. HOME TELEPHONE *(Area Code and Number)*

8. SOCIAL SECURITY NUMBER

9B. OFFICE TELEPHONE *(Area Code and Number)*

10. YOUR PRESENT EMPLOYMENT *(Check one)*

a. ☐ I AM EMPLOYED IN A SCHOOL, LOCAL OR STATE EDUCATION AGENCY, COLLEGE OR UNIVERSITY *(Complete the remaining items on this form)*

b. ☐ I AM NOT EMPLOYED IN A SCHOOL, SYSTEM, OR COLLEGE *(Omit items 11 through 17 and specify your employment here)*

SAMPLE

11a. NAME OF EMPLOYER

11b. ADDRESS *(Include ZIP Code)*

12a. NAME AND TITLE OF YOUR IMMEDIATE SUPERVISOR

12b. ADDRESS *(Include ZIP Code)*

13. LIST YOUR PRESENT SCHEDULE OF COURSES TAUGHT, PROFESSIONAL ASSIGNMENTS, ETC.

COURSES TAUGHT OR ASSIGNMENTS	GRADES	% TIME PER WEEK

14. LEVEL OF SCHOOL *(or System)*

☐ PRE-SCHOOL
☐ PRE-SCHOOL AND ELEMENTARY
☐ ELEMENTARY
☐ JUNIOR HIGH
☐ SENIOR HIGH
☐ JUNIOR-SENIOR HIGH
☐ ELEMENTARY AND SECONDARY
☐ POST-ELEMENTARY VOCATIONAL SCHOOL
☐ COLLEGE OR UNIVERSITY
☐ ADULT EDUCATION

15. TYPE OF SCHOOL *(or System)*

☐ PUBLIC
☐ PRIVATE, CHURCH-RELATED
☐ PRIVATE, NOT CHURCH-RELATED

16. APPROXIMATE NUMBER OF STUDENTS ENROLLED *(If you serve a single school)*

17. TITLE OF YOUR POSITION

18. IF YOU ARE PREPARING FOR EMPLOYMENT IN THE FIELD OF EDUCATION FOR THE FIRST TIME, OR AT A DIFFERENT SCHOOL OR LEVEL, OR FOR A DIFFERENT ASSIGNMENT, SPECIFY HERE

19. SUMMARIZE YOUR YEARS OF EXPERIENCE IN TEACHING OR RELATED WORK:

SUBJECTS OR ASSIGNMENTS	LEVEL *(Elem., secondary, etc.)*	YEARS OF EXPERIENCE	SUBJECTS OR ASSIGNMENTS	LEVEL *(Elem., secondary, etc.)*	YEARS OF EXPERIENCE

20. EMPLOYMENT RECORD — LIST YOUR PLACES OF EMPLOYMENT IN TEACHING OR RELATED WORK DURING THE LAST 5 YEARS
(Start with your present or last position and work back)

DATES	NAME AND ADDRESS OF EMPLOYER	NATURE OF YOUR DUTIES

21. WHAT COLLEGES AND UNIVERSITIES HAVE YOU ATTENDED? *(Exclude attendance at institutes or programs you list in items 22 and 23)*

NAME OF INSTITUTION	DATES ATTENDED	DEGREE	MAJOR	MINOR(S)
	SAMPLE			

22. HAVE YOU PREVIOUSLY ATTENDED AN EPDA PROGRAM, AN NDEA INSTITUTE, A NATIONAL SCIENCE FOUNDATION INSTITUTE, AN ARTS AND HUMANITIES INSTITUTE, OR A PROSPECTIVE OR AN EXPERIENCED TEACHER FELLOWSHIP PROGRAM? ☐ YES ☐ NO *(If yes, specify each)*

NAME OF SPONSORING INSTITUTION	DATES ATTENDED	SUBJECT FIELD	NAME OF INSTITUTE OR PROGRAM DIRECTOR

23. DESCRIBE ANY OTHER SIGNIFICANT ACADEMIC EXPERIENCES YOU HAVE HAD IN THE SUBJECT FIELD OF THIS INSTITUTE OR PROGRAM *(such as summer programs, workshops, or seminars):*

24. WHAT TEACHING CERTIFICATES OR OTHER CREDENTIALS DO YOU HOLD? *(Indicate type, level, subjects, etc.)*

25. DOES YOUR PRESENT POSITION INVOLVE TEACHING, OR OTHERWISE WORKING WITH, DISADVANTAGED CHILDREN OR YOUTH?

☐ YES, ALMOST EXCLUSIVELY
☐ YES, TO A SIGNIFICANT EXTENT
☐ NOT USUALLY

26. DOES YOUR PRESENT EMPLOYMENT INVOLVE THE TEACHING OF SPECIAL CLASSES FOR PHYSICALLY OR MENTALLY HANDICAPPED CHILDREN AND YOUTH, OR THE SUPERVISION OR ADMINISTRATION OF SUCH SPECIAL CLASSES? ☐ YES ☐ NO

IF YES, INDICATE WHETHER THE SCHOOL IS:

☐ EXCLUSIVELY OR PRIMARILY FOR THE HANDICAPPED,
OR
☐ ONLY INCIDENTALLY FOR THE HANDICAPPED

27. **I CERTIFY** that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

DATE	SIGNATURE OF APPLICANT

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

BUDGET BUREAU NO.

APPROVAL EXPIRES:

CONFIDENTIAL EVALUATION

(For Programs supported by Parts C, D, and F of The Education Professions Development Act)

TO THE EVALUATOR

Please complete this form and return to:

DO NOT MAIL TO THE U.S. OFFICE OF EDUCATION

NAME OF APPLICANT *(The individual named is seeking admission to the educational program named below)*

NAME OF PROGRAM	NAME OF SPONSORING INSTITUTION OR AGENCY	
SUBJECT FIELD	DATES OF TRAINING	
	FROM	TO

TO BE COMPLETED BY THE EVALUATOR

1. NAME OF EVALUATOR	TITLE OF YOUR POSITION	2. HOW LONG HAVE YOU KNOWN THE APPLICANT AND IN WHAT CAPACITY?
SCHOOL *(or System)*		

3. CONSIDERING ALL THE EDUCATIONAL PERSONNEL WITH WHOM YOU HAVE WORKED OR SUPERVISED, HOW WOULD YOU RANK THE APPLICANT ON THE FOLLOWING CHARACTERISTICS?

CHARACTERISTICS	EXCELLENT	ABOVE AVERAGE	AVERAGE	BELOW AVERAGE	POOR	CAN'T JUDGE
a. Ability as a teacher *(or specialist)*						
b. Knowledge of subject matter						
c. Effectiveness in working with students						
d. Effectiveness in working with colleagues						
e. Leadership potential						
f. Scholastic ability; capacity for growth						

SAMPLE

4. PLEASE PROVIDE ANY COMMENTS ON THE APPLICANT'S ABILITY, PERFORMANCE, CHARACTER, TEMPERAMENT, ETC., WHICH YOU BELIEVE WILL AID THE SELECTION COMMITTEE IN DETERMINING HIS OR HER SUITABILITY FOR THIS EDUCATIONAL PROGRAM

5. IN WHAT WAYS DO YOU BELIEVE THAT THE APPLICANT WOULD BENEFIT FROM ATTENDING THIS EDUCATIONAL PROGRAM? *(If the applicant has specific areas of need, please indicate them)*

6. DOES THE APPLICANT HAVE A CONTRACT, OR THE OFFER OF A CONTRACT, IN YOUR SCHOOL SYSTEM FOR THE NEXT YEAR?

☐ YES ☐ NO ☐ I DON'T KNOW *(If "NO," please explain)*

7. PLEASE COMMENT ON WAYS IN WHICH YOUR SCHOOL OR SCHOOL SYSTEM MAY UTILIZE OR BENEFIT FROM THE TRAINING RECEIVED BY THE APPLICANT IF HE OR SHE IS SELECTED FOR THIS EDUCATIONAL PROGRAM

8. SIGNATURE OF EVALUATOR	DATE

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

APPLICATION FOR A STIPEND

(Parts C, D, E, or F, The Education Professions Development Act)

FORM APPROVED
BUDGET BUREAU NO. 51-R0591

Individuals who attend training programs under the provisions of Parts C, D, E, or F of the Education Professions Development Act are eligible in most cases to receive stipends, plus dependency allowances, for the period of attendance. Specific information on applicable stipend rates and dependency allowances will be furnished to you by the Director of the Program to which you apply.

Please type or print in ink and return this form to the Program Director, NOT to the U.S. Office of Education.

YOUR NAME *(First, Middle initial, Last)*	YOUR PERMANENT OR HOME ADDRESS *(Number, Street, City, State, ZIP Code)*

NAME OF INSTITUTION OR AGENCY TO WHICH YOU ARE APPLYING	TITLE OF TRAINING PROGRAM	DATES OF TRAINING	
		FROM	TO

DEPENDENCY ALLOWANCES

INSTRUCTIONS: For the purposes of dependency allowances, a "dependent" means an individual who receives more than one-half of his or her support from the participant for the calendar year in which the school year begins, and who is (a) the spouse of the participant, or (b) one who could be claimed by the participant as a dependent for Federal income tax purposes.

EXCEPTIONS: You may NOT claim an allowance for any person who is either receiving funds, or who is claimed as a dependent of another person who is receiving funds, from this or any other program of Federal educational assistance, unless such funds are received as a loan or in connection with a program of work-study.

OBLIGATION TO REPORT CHANGES IN DEPENDENCY ALLOWANCES: Any change which occurs *(prior to completion of the training project)* in the number of dependency allowances which you are claiming in this application, must be reported to the Program Director for an appropriate adjustment.

CERTIFICATION OF CLAIM

IN ACCORDANCE WITH THE FOREGOING INSTRUCTIONS *(Check the one which applies)*

☐ I CLAIM NO DEPENDENTS

☐ I CLAIM THE FOLLOWING DEPENDENTS

SAMPLE

NAME OF DEPENDENT	AGE	RELATIONSHIP	NAME OF DEPENDENT	AGE	RELATIONSHIP
1.			6.		
2.			7.		
3.			8.		
4.			9.		
5.			10.		

I CERTIFY, under penalty of law, that I have claimed dependency allowances in accordance with the instructions on this form, that the information provided by me is true and complete to the best of my knowledge and belief, and that I understand my obligation to report any change in the number of dependency allowances claimed herein.

SIGNATURE OF APPLICANT	DATE

APPROVED:

SIGNATURE OF PROGRAM DIRECTOR	DATE

OE FORM 7213, 1/70 REPLACES OE FORM 7213, 1/69, WHICH IS OBSOLETE.

APPENDIX C

BUREAU OF EDUCATIONAL PERSONNEL DEVELOPMENT
Don Davies, Associate Commissioner
Russell Wood, Deputy Associate Commissioner
Wesley Capar, Executive Officer

OE Fiscal and Program Project Officers

For questions concerning grant procedures and related fiscal matters contact:

For TTT, Basic Studies, Educational Administration, Pupil Personnel Services and Media Specialist Projects:

Mrs. Ann Mears
Grants Management Specialist
Bureau of Educational Personnel Development
U.S. Office of Education
Washington, D.C. 20202

(202) 962-7451

For Early Childhood, School Personnel Utilization, Special Education, Vocational and Technical Education, and Career Opportunities Program Projects:

Mrs. Vanette Skillin
Grants Management Specialist
Bureau of Educational Personnel Development
U.S. Office of Education
Washington, D.C. 20202

(202) 962-2533

Fiscal inquiries concerning any project may be directed to:

Mr. James J. McLaughlin - Grants Officer
Contracts and Grants Division
Office of Administration
U.S. Office of Education
Washington, D.C. 20202

(202) 963-4398

If payments are not received promptly according to terms of the grant and DHEW financial procedures, the grantee's Business Officer should call Mr. Moses Giddings, Budget and Accounting Officer, (202) 963-3616.

Inquiries or calls concerning questions relating to program operation should be directed to one of the following Project Officers.

DIVISION OF COLLEGE PROGRAMS
Director - Dr. Donald N. Bigelow

Training Teacher Trainers (TTT)

Dr. Allen A. Schmieder - (Acting) Chief	(202)	963-7674
Dr. Mary Jane Smalley (Deputy)		963-7674
Mr. Charles Foster		963-7674
Mrs. Catherine Gaugler		963-7674
Miss Kay Henry		963-7674
Miss Shirley Radcliffe		963-7674
Dr. Donald R. Tuttle		963-7674

Basic Studies

Dr. A. Bruce Gaarder - Chief	(202)	962-1117
Miss Helen O'Leary (Deputy)		962-1117
Mrs. Katherine Greaves		962-1117
Miss Alfreda Liebermann		962-1117

Educational Administration

Dr. Dustin W. Wilson - Chief	(202)	962-8046
Dr. James Rogers		962-8046
Miss Jeanne Williams		962-8046

Pupil Personnel Services

Dr. James M. Spillane - Chief	(202)	962-1926
Mr. Charles Reed		962-1926
Mrs. Amy Wu		962-1926

Media Specialist

Dr. James M. Spillane - Chief	(202)	962-1926
Dr. L. Clinton West		962-1926

DIVISION OF SCHOOL PROGRAMS

Director - Dr. William L. Smith
Deputy Director - Dr. Alan W. Brownsword*

Early Childhood

Dr. Joan E. Duval - Chief	(202)	963-7481
Mrs. Virginia Cassel		963-7481
Miss Karen Cossaro		963-7481
Mrs. Carol Epstein		963-7481

School Personnel Utilization

Dr. Donald K. Sharpes	(202)	963-7481

Special Education Training

Dr. Malcolm D. Davis - Chief	(202)	963-5783
Dr. Marguerite Follett		963-5783
Mrs. Eileen F. Lehman		963-7973
Mr. Edward Moore		963-7974

Vocational Technical Education

Dr. William Loomis - Chief	(202)	963-7481
Mrs. Esther Nichols		963-7481
Mr. Frank Perazzoli		963-7481
Mrs. Muriel S. Tapman		963-7481

Career Opportunities Program

Dr. Wilton Anderson - Chief	(202)	963-4921
Mrs. Rosemarie Brooks		962-1820
Dr. Kenneth E. Brown		963-4921
Mr. Robert Fillion		962-1816
Mrs. Ella Griffin		962-1820
Mr. Allen Lesser		962-5860
Mrs. Jori Mark		962-5860
Mr. Rudolph Munis		963-3200
Dr. R. G. Mylecraine		962-4523
Mr. Roberto Olivares		963-4820
Miss Margaret Wiesender		963-4820

* On leave of absence

GSA DC 70.8496